

U.S. DEPARTMENT OF EDUCATION
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
WASHINGTON, D.C. 20202

**FY 2001
APPLICATION FOR GRANTS
UNDER THE TRANSITION TO
TEACHING PROGRAM**

CFDA Number: 84.350
Form Approved
OMB No. 1810-0635, Exp. Date: 04/30/2004



DATED MATERIAL - OPEN IMMEDIATELY

Application Closing Date: June 15, 2001

Paperwork Burden Statement

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APPENDICES

A. Required Forms And Other Application Content

Identification of Applicant, Project Category, and Participating
Local Educational Agencies

Guidance on Section 427 of the General Education Provisions
Act (GEPA)

Application for Federal Education Assistance (ED Form 424)
and Instructions

Budget Information (ED Form 524) and Instructions

DUNS Number Instructions

Assurances, Certifications, and Disclosure of Lobbying Activities

Note: Copies of standard forms are also available at the U.S. Department
of Education's website at <http://ocfo.ed.gov/grntinfo/appforms.htm>.

B. Performance Indicators

**Notice to Applicants: The Government Performance and
Results Act (GPRA)
Transition to Teaching Program Performance Indicators**

C. Transmittal Instructions & Checklist

**Application Transmittal Instructions
Application Checklist**

D. Other Important Information and Notices

**Intergovernmental Review of Federal Programs
State Single Points of Contact
Important Notice to Prospective Participants in U.S. Department
of Education Contract and Grants Programs
Transition to Teaching Program Notice Inviting Applications
for New Awards
Transition to Teaching Program Notice of Final Requirements
Acknowledgment of Receipt of Grant Application**



UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION

April 11, 2001

Dear Applicant:

Thank you for your interest in the Transition to Teaching Program administered by the U.S. Department of Education, Office of Elementary and Secondary Education. This grant opportunity comes at a critical time in our national effort to ensure that all children have the opportunity to achieve to high standards. If the nation is to achieve its education goals, we must have talented and caring teachers in every classroom. However, we are facing a severe shortage of qualified teachers. America's schools will need to hire 2.2 million highly talented and qualified teachers over the next ten years to meet projected student enrollment increases and continuing increases in retirements from the current teacher force. The Transition to Teaching Program will help school districts address their teacher shortages by enabling them to hire talented, highly skilled individuals from other fields who desire to make a career move into teaching.

In particular, through this program the Department will provide grants to support the recruitment, training, and placement into K-12 teaching positions of (1) mid-career professionals from various fields who possess strong subject-matter skills to become teachers and (2) recent college graduates with outstanding academic records and a baccalaureate degree in a field other than education, and to provide support for the teacher recruits during their first years in the classroom. Local educational agencies (LEAs), state educational agencies, educational service centers, nonprofit agencies and organizations, and partnerships comprised of two or more of these entities may apply for one-time awards of up to three

years. While institutions of higher education (IHEs) are not eligible to receive an award, applicants are free to collaborate with them as they design and implement their projects.

Applications will be assigned to and will compete only with applications in one of three pools: (1) national or regional projects that will assist LEAs in more than one state; (2) statewide projects that will assist LEAs in different parts of a state; or (3) local projects that will assist a single LEA or a group of LEAs located in close proximity to one another within a state. While the same requirements and selection criteria apply to all applications, it is important to indicate the application pool in which you desire to have your application reviewed.

The package contains all the information, instructions, and forms that applicants will need to apply for a Fiscal Year 2001 Transition to Teaching Program grant (CFDA No.84.350). Please review the entire application package carefully before preparing your

Dear Applicant – Page 2

application and submitting it to the Department's Application Control Center. To help ensure that your application is complete, an application checklist has been provided in the package. All applications must be submitted to the Department no later than June 15, 2001.

While Department regulations require you to submit an original and two copies of your application, to expedite processing we ask that you submit an original and three copies. Upon receipt of your application, the Department's Application Control Center will assign it an application identification number, which will be sent to you via a notification of receipt. Please refer to this number in any further correspondence concerning your application.

An application that is submitted late will be returned to the applicant and will not be considered. Please note that you must

limit the narrative of your application to no more than 50 double-spaced pages. The peer reviewers will not read any pages of an application that exceed 50 pages.

In the coming weeks, the Department intends to provide further information about this program for prospective applicants and assistance in preparing applications at the following Internet site: <http://www.ed.gov/GrantApps/#84.350>. In the meantime, if you desire further information concerning this program or the application process, please contact:

*Dr. Frances Yvonne Hicks
School Improvement Programs
Telephone: 202-260-0964
Fax: 202-260-5630
E-mail: transitiontoteaching@ed.gov*

Again, thank you for your interest in the Transition to Teaching Program and your commitment to helping ensure that American schools have the talented and qualified teachers we need to ensure that all of our students achieve.

Sincerely,

*Arthur Cole
Director
School Improvement*

Programs

Transition to Teaching Program Intent to Apply

The Department will use an outside peer review process to evaluate applications for the Transition to Teaching Program, and to identify those applications to be recommended for award. The quality of that process will depend, in part, on our ability to secure an appropriate number of reviewers, accommodations for them, and space in which they will work. Our ability to do this will depend, in turn, upon advance knowledge of the approximate number of applications it will receive.

For this reason, if your agency or organization intends to apply for funding under the Transition to Teaching Program, we ask that you provide us the following information:

Name of Primary Applicant: _____

Address: _____

City, State, Zip Code: _____

Telephone: _____ Fax Number: _____

E-mail address: _____

Expected Category of Application: (Please check, as appropriate)

- ☐ National/regional project
- ☐ Statewide project
- ☐ Local project

Please return this form on or before May 15, 2001 to:

Dr. Frances Yvonne Hicks
School Improvement Programs
Office of Elementary and Secondary Education
400 Maryland Ave. SW, Room 3E224
Washington, D.C. 20202-6140

Responses also may be sent by fax machine to (202) 205-5630, or the information may be sent by e-mail to transitiontoteaching@ed.gov.

The Department requests this information solely to help it prepare for the peer review process. It will not be used in the review of your application. If you inform the Department of your intent to apply, but subsequently decide not to do so, please notify the Department accordingly.

APPLICATION NARRATIVE

THE TRANSITION TO TEACHING PROGRAM

AN OVERVIEW

America's schools will need to hire 2.2 million teachers over the next ten years, and if we want to achieve our education goals, they will need to be the most talented and qualified generation of teachers the Nation has ever known.

Every child deserves a highly competent teacher in the classroom every year. Yet many schools are hard pressed to find adequate numbers of well-qualified applicants, particularly in fields such as mathematics, science, foreign languages, bilingual education, reading, and special education. As school enrollments continue to grow and retirements from the current teacher force increase, the Nation's teacher recruitment and preparation challenges will grow ever more daunting.

The Transition to Teaching program will help to address the challenge of America's teacher shortage by helping talented individuals working in other fields, as well as recent college graduates with outstanding academic records, to make successful career changes and become licensed or certified classroom teachers. The program focuses on recruiting only talented and capable individuals from other professional and academic fields – individuals whom States and school districts are finding to be a valuable but untapped resource for addressing their teacher shortages.

In particular, the Transition to Teaching program will focus on recruiting from two specific groups of nontraditional candidates:

1. Mid-career professionals from various fields who, by virtue of their academic background and work experience, possess strong subject-matter skills to become teachers – particularly in high-need fields such as mathematics, science, foreign languages, bilingual education, reading and special education. Examples might include engineers and scientists, corporate professionals and retiring Peace Corps volunteers and members of the military; and
2. Recent college graduates with outstanding academic records and a baccalaureate degree in a field other than teaching.

Those receiving grants under this program will work with specific school districts to address those districts' teacher shortages through four comprehensive strategies – recruitment, preparation, placement, and follow-up support. Building on what the school districts have identified as their most critical areas of teacher shortage, grantees will recruit and encourage individuals in these two groups with commensurate backgrounds and skills to become teachers in these areas. They then will ensure that those individuals will receive the special assistance, guidance, support and, as appropriate, stipends and financial incentives they need to make teaching in these areas their long-term careers.

Given the backgrounds of those recruited into the program, and the preparation that grantees and school districts provide to them, school districts will be able to hire and place these individuals into teaching positions quickly. In this way, the Transition to Teaching program complements the efforts of participating LEAs to secure more of the teachers they need through various alternative routes to teacher certification and licensure.

The program also fills a gap in the existing array of vehicles Congress has authorized to help address the Nation's teacher shortage. The Troops-to-Teachers Program, for example, targets those in the military interested in making teaching their new career. However, this successful program focuses only on those in the military and does not pay costs of supplemental training or incentives that these individuals may need to become qualified teachers. Other vehicles, such as the Teacher Recruitment Grants and the Perkins Loan Program authorized in Titles II and IV of the Higher Education Act, respectively, offer scholarships or debt forgiveness to individuals who attend institutions of higher education (IHEs) and go on to become teachers in high-need schools. However, these other vehicles do not specifically target individuals working in non-teaching occupations who already have content knowledge, experience and talents that likely would help to make them good teachers and who, with encouragement and incentives, would want to make career moves into teaching. The Transition to Teaching program does this.

WHO MAY APPLY

Those eligible to apply for grants under the program are: local educational agencies (LEAs) including charter schools that are LEAs, State educational agencies (SEAs), educational service agencies, nonprofit agencies and organizations, including nonprofit organizations with expertise in teacher recruitment, and partnerships comprised of two or more of these entities.

For purposes of this program, schools funded or operated by the Bureau of Indian Affairs (BIA) are considered to be LEAs; BIA is considered to be an SEA.

(Note: The law does not permit an IHE to apply individually or as one component of a partnership. However applicants may wish to collaborate with one or more IHEs (or other entities), and describe the extent of this collaboration in their program applications.)

All applications must be submitted to the Department no later than June 15, 2001. Please review the application transmittal instructions in Appendix C of this package.

CATEGORIES OF APPLICATIONS

All applicants will need to identify the particular LEA(s) that will be the focus of their placement and follow-up support activities. However, given the wide variety of eligible applicants, the scope of proposed recruitment and placement efforts can be expected to vary widely. So that such varying applications can be fairly evaluated, the Department intends separately to review applications whose projects would focus on the following three areas:

1. Projects where placement of new teachers would be in LEAs in more than one State;
2. Projects where placement of new teachers would be statewide or in LEAs in more than one area of a particular State; and
3. Projects where placement of new teachers would be in a single LEA or in a group of LEAs in a single area of a State.

Please indicate on the "Identification of Project Category and Participating Local Educational Agencies" form, in Appendix A of this application package, the category in which your application is to be reviewed. All applications, regardless of category, will be reviewed using the same selection criteria and other information contained in this package.

Because of the variety of entities that may apply for grants under this program, it is possible that an LEA may be the recipient of services under both (1) its own application and (2) the application of the SEA of the State in which the LEA is located or an educational service agency or nonprofit organization. In this event, should those applications propose

duplicative recruitment and placement activities, the Department will offer the LEA a choice of receiving its own grant award or participating in the other entity's project. In the event the LEA chooses to receive its own award, the Department will adjust the other entity's grant award accordingly.

DURATION AND AMOUNT OF AWARDS

For this Fiscal Year (FY) 2001 competition, the Department will make available approximately \$31 million in grant awards to successful applicants for project periods of up to three years. Grantees will use these single awards to defray the costs of meeting the teacher shortage needs of particular LEAs through the recruitment, preparation, placement, and follow-up support strategies described in their approved grant applications.

The Department estimates that it will make the following number of awards, in the following funding ranges and average size, for each of the three categories of applications:

- *National/Regional Projects. For applications that propose projects to support LEAs located in more than one State – the Department anticipates it will fund approximately 5 awards ranging in size from \$750,000 to a maximum of \$3,000,000 at an average size of \$1,500,000.*
- *Statewide Projects. For applications that propose projects to support LEAs located statewide or in LEAs scattered across a particular State – the Department anticipates it will fund approximately 14 awards ranging in size from \$375,000 to a maximum of \$1,500,000 at an average size of \$700,000.*
- *Local Projects. For applications that propose projects to support a single LEA or in a group of LEAs within a State in close proximity to one another – the Department anticipates it will fund approximately 35 awards ranging in size from \$112,000 to a maximum of \$1,125,000 at an average size of \$375,000.*

Maximum Amount of Awards. The Department will reject any application that proposes a budget for the entire project period exceeding \$3,000,000 for a National/regional project, \$1,500,000 for a statewide project, or \$1,125,000 for a local project. The Department may change the maximum amount through a notice published in the *Federal Register*, and is otherwise not bound by these estimates.

During the first project year, all projects must recruit and prepare the individuals who will become teachers for their initial teaching experiences. During this first year, all projects also will work with these recruits so that they (1) are hired as teachers by the participating LEA(s) as quickly as possible – and not later than the beginning of the 2002-03 school year, and (2) are able to receive their teacher certification or license as quickly as possible, through alternative routes where they are available. During the second and third years of the project, grantees will continue to help these individuals become certified or licensed, and ensure that these individuals receive the special support they will need to be successful teachers.

The Department anticipates that the size of awards within a category will vary widely, depending on the scope (and category) of the project and other factors such as: the number and variety of individuals to be recruited, trained and hired as teachers; the costs projects will incur in recruiting these individuals, helping them to become licensed or certified teachers, and supporting them during their initial years in teaching; the amount of stipends or financial incentives, if any, that the applicant believes it needs to provide to each of these individuals; the number and size of LEAs that will employ these individuals, and the resources that these LEAs are able to contribute to the projects.

It also anticipates funding projects at different stages of development and in different levels of need. Many projects may be completely new, with applicants in need of start-up costs in the first year, while others may have been in operation for some time, and seek now to expand their activities. Similarly, many projects may be working with LEAs that lack strong support for

teachers during their induction period, while others may be working with LEAs that offer new teachers outstanding levels of support but need help recruiting qualified teachers in certain high-need subjects. Some projects may be able to have recruits receive their teaching certification or license early in the project period, while others may need more time to do so. Moreover, for reasons such as these – and because funded activities in the project's initial year differ from those in the following two years – the amount an applicant may need to conduct activities during the first year of the project may be higher or lower than the amounts requested for each of the subsequent years of the project.

REQUIRED APPLICATION CONTENT

The success of this program in enhancing the quality of the Nation's teaching force depends on the quality of activities grantees undertake. In particular, it depends on: (1) how well grantees, in response to the teacher shortage needs of participating LEAs, recruit and prepare mid-career professionals and recent college graduates with outstanding academic records to become qualified teachers; (2) the extent to which these individuals become employed as teachers in the LEAs and schools that most need them; and (3) the kinds of special support they receive during their first years of teaching. These, in turn, depend on the commitment of the applicant and its partners to ensure that the LEA(s) that participate in the project

will benefit from the new qualified teachers the project will produce.

How applicants propose to accomplish their objectives is left to their own judgment, ingenuity, and imagination. However, to ensure that funded projects are of high quality and respond to the teacher shortage needs of participating LEAs, all applications will need, at minimum, to identify the following:

- 1. The critical teacher shortage needs that one or more LEA(s) have identified (for instance in such subjects as mathematics, science, foreign languages, bilingual education, reading, and special education), and the basis for the LEA's(s') assessment of these needs (e.g., numbers of teachers teaching without certification or out-of-field, high teacher attrition, etc.).*
- 2. The target group upon which the project will focus, i.e., –*
 - career-changing professionals with both strong academic backgrounds and work experience in the relevant subject fields (along with any academic background that the LEA(s) who would hire them may require), and/or*
 - recent college graduates with outstanding academic records but without a baccalaureate in education.*
- 3. For projects that recruit recent college graduates with outstanding academic records, the applicant's criteria (e.g., minimum grade-point average overall or in the area of college major, inclusion in top "xx" percent of the graduating class, receipt of academic honors, etc.) for what constitutes an "outstanding academic record."*
- 4. The estimated number of these individuals who will become teachers through this project in each participating LEA.*
- 5. The applicant's strategies for ensuring that, to the maximum extent possible, those recruited into the program make teaching in the participating LEA(s) their long-term career. In addressing this issue, applicants must describe their proposed strategies with which they will –*

- *identify and recruit the target group of individuals to become teachers in participating LEAs (including the applicant's strategy for ensuring that recruitment costs – including any that may be needed for non-local travel – are reasonable and necessary (see Question 6, in “Other Important Application Information”);*

and then ensure that these recruits –

- *receive guidance and personal support needed to ease their transition from one career to another, as well as appropriate short-term training in such areas as pedagogy and classroom management before they begin teaching, which shall begin as quickly as possible and no later than the beginning of the 2002-03 school year;*
- complete high-quality training in pedagogy, supervised teaching, and other requirements of licensure or certification of the State (and, where applicable, the LEA) in which they will teach;
- become licensed or certified in the area(s) in which they will teach through, where applicable, a State- (or LEA-) approved alternative route to teacher certification or licensure that does not require completion of a full course of study in a teacher preparation program;
- teach only in subject areas in which they have prior experience or sufficient academic background until they receive a teaching license or certificate confirming they have met all State (and, if applicable, LEA) requirements related to the subjects they will teach; and
- receive the special support they will need during at least their first two years of teaching so that they are able to learn to help the diverse groups of students who will be in their classrooms achieve to high standards. This support would include such activities as: mentoring, co-teaching with experienced teachers, observation and consultation with experienced teachers, training in the uses of technology, and other sustained and high-quality professional development tied to State and district standards and assessments.

6. The applicant's plans for –

- paying the costs of required courses, State assessments, and other expenses related to project participants becoming licensed or certified teachers, and
 - identifying –
 - (a) the circumstances, if any, under which the applicant likely would need to offer a stipend or financial incentive to particular individuals in order to successfully recruit them into the project and to implement the project successfully;
 - (b) at what point(s) in the project period these individuals would receive a stipend or financial incentive, and steps the applicant will take to try to ensure that those receiving stipends or financial incentives are or will become teachers; and
 - (c) the total amount of stipends or incentives the applicant expects to provide out of program funds, which for any individual may not exceed \$5,000 per year for each of two years.
7. The State (or, where applicable, LEA) procedures under which project participants would be certified or licensed including, where available, those for any “alternative routes” to teacher certification or licensure that the State (or LEA(s)) provide.
 8. If applicable, the ways in which the proposed project will help further State and local efforts to establish alternative routes to teacher certification or licensure.
 9. The identities of any agencies and organizations that will work with the applicant to implement project activities.

Applicants also will need to include an assurance that recruitment and hiring efforts supported with program funds will expand existing efforts that the applicants or participating LEA(s) conduct.

Finally, applicants also will need to include written statements from the LEAs in which the project will focus –

- *offering support for the project and a commitment to employ all of the project’s participants as soon as possible, and no later than the beginning of the 2002-03 school year provided that they, in fact, have the subject-matter backgrounds and*

academic training appropriate to the high-need subjects and fields they would teach; and

- *confirming that, should the applicant propose to use program funds to provide stipends or financial incentives to a program participant after he or she is hired as a teacher (or in the first year of the project in another capacity), the LEA that would hire the individual agrees with these plans.*

APPLICATIONS THAT DO NOT CONTAIN THE INFORMATION IDENTIFIED IN ITEMS 1 THROUGH 9 ABOVE AND IN THE PRECEDING PARAGRAPHS WILL BE CONSIDERED INCOMPLETE AND WILL NOT BE ELIGIBLE FOR FUNDING.

No grant may be awarded unless a complete application has been received. Please submit an original and three copies of the completed application.

DESIGNING A QUALITY APPLICATION

Applications will be reviewed and ranked on the basis of how well the information they provide about their projects – including the required information described in the preceding section – respond to the program’s “Selection Criteria.” However, we believe that successful applicants will address these Criteria in ways that respond effectively to the particular challenges this program poses.

THE CHALLENGE: DESIGNING PROJECTS THAT WILL ACHIEVE RESULTS

Many LEAs across the Nation not only face a severe shortage of qualified teachers, but feel compelled to have teachers work in fields out of their areas of certification or licensure. We need to ensure that all of our current teachers have the knowledge, skills, and credentials they need to teach their subject areas. However, this will not be enough. We also need to tap individuals now working in other fields who have not only special talents and/or knowledge in high-need fields such as mathematics, science, foreign languages, bilingual education, reading and special education, but also the motivation and desire to become exceptional teachers. Finding these individuals and helping them to become, as quickly as possible, qualified teachers in LEAs whose students so much need their services is the purpose of the Transition to Teachers program.

But who are these persons, and how would one find them? What is each one’s special knowledge and talent? After finding them, how would one motivate them to (1) pursue and complete teacher certification or licensure requirements in the area(s) in which they will teach, (2) learn pedagogy and classroom management skills, and how to teach to the individual needs of all of their students, and (3) become a highly qualified teacher and remain in their new profession during and after the first difficult years in the classroom? What kind of collaboration and dialogue with what other entities – IHEs, teacher organizations, community organizations, State licensing and

higher education agencies, among others – may be needed to help the project achieve its goals and objectives? How will we ensure that these new teachers receive teacher preparation and support that reflect up-to-date knowledge of research and best practice known across the country? What kinds of individual preparation and support will they need?

RESPONDING TO THE PROGRAM'S SELECTION CRITERIA

Successful applicants likely will be able convincingly to answer questions such as these. But they will need to do more. They will need to answer them in ways that clearly and comprehensively address the Selection Criteria the Department will use to assess the quality of each application. These criteria, which are contained in the following section of this application package, encompass seven key areas:

- *Need for the project*
 - *Quality of project design*
 - *Quality of project services*
 - *Quality of project personnel*
 - *Adequacy of resources*
 - *Quality of management plan*
 - *Quality of project evaluation*

Hence, we believe that successful applicants will be those who, in addressing these Selection Criteria, demonstrate their ability to meet the special challenges this program poses. Those who review project applications will use their own professional judgment to determine which projects best meet the program's Selection Criteria. However, we believe that the most successful applicants will be able to demonstrate that they have thought carefully about key questions like the following:

1. Need for project

- *How severe are the teacher shortages that the specific LEA(s) to be served have identified, particularly in high-need areas and subjects (for instance, mathematics, science, foreign languages, bilingual education, reading, and special education)?*
- *Why do the(se) LEA(s) need the individuals who would be recruited, prepared, and placed as teachers through this program in order to address their teacher shortages? How will this project enhance or supplement the existing efforts of the(se) LEA(s) to recruit teachers who are qualified to teach in high-need areas and subjects?*
- *How significant will this project be to helping the(se) LEA(s) meet the(ir) teacher shortage needs?*

2. *Quality of project design*

(Recruitment)

- *What prospective candidates will the project recruit (i.e., mid-career professionals with work experience in the needed subject field and academic backgrounds that the participating LEA(s) require, or recent college graduates with outstanding academic backgrounds and with baccalaureate degrees in fields other than education) to meet the identified needs of the(se) LEA(s)? What professional skills, academic backgrounds, or other talents will they have?*
- *From where will individuals be recruited? Will this be done locally? Regionally? Nationally? Regardless of whether recruitment is to be conducted locally, regionally, or nationally, would the proposed project be strengthened through partnerships with any State agencies, nonprofit organizations, or other successful initiatives such as Troops-*

to-Teachers that may exist in the areas where the project's recruitment efforts will occur? And what will those partnerships look like?

- *What kind of outreach and recruitment efforts will the project undertake to reach these candidates? Why are these efforts likely to be successful in recruiting into teaching the estimated number of individuals that the applicant has identified in its application?*
- *How will the applicant determine whether particular candidates to be recruited into the program have the capacity and commitment to complete teacher certification requirements (in alternative routes, (where available) and become effective teachers?*

(Project objectives and milestones)

- *How many individuals does the applicant expect to –*

Recruit and begin helping to prepare as teachers?

Place as teachers in each LEA in which the project will focus?

- *On the basis of available alternative routes to teacher certification or licensure, by when would each new teacher be certified or licensed to teach in the subject area and grade-level in which they are or will be teaching?*
- *How might the project help further State and local efforts to establish and make use of alternative routes to teacher certification or licensure?*

(Sustaining results)

- *How will the project improve the capacity of the applicant and the participating LEA(s) to hire and retain qualified teachers after Federal funding ends?*

- *How will the applicant help other LEAs learn how they may be able to recruit and prepare individuals from nontraditional backgrounds to help address their own teacher shortage needs in high-need areas and subjects?*

3. *Quality of project services*

(Identifying and responding to LEA needs)

- *How does the applicant know the areas and subjects in which the LEA(s) with which they will work have shortages? What kind of data (e.g., student-teacher ratios, teacher turnover rates, teacher retirements, numbers and percentages of teachers who are not licensed or certified in areas and subjects, and the number and percentages of teachers who are teaching subjects out-of-field) confirm that the(se) LEA(s) need the teachers to be recruited and prepared through this program?*
- *What kind of assistance, information and support will the applicant provide to those recruited into the program to prepare them for their transition to teaching?*
- *How will the applicant help those recruited into the program to complete certification and licensure requirements (through alternative routes, where available) in ways that effectively respond to the needs of the LEAs that have agreed to hire them?*

(Service delivery)

- *How will the applicant ensure that those recruited to be teachers through the project, after receiving appropriate guidance and personal support in making the career change, as well as intensive short-term training in areas such as pedagogy and classroom management, are placed into teaching positions as quickly as possible?*

- *What process will the grantee use to ensure that these project participants are familiar with the schools and LEA(s) in which they will teach as they make the transition to teaching?*
- *How will the applicant ensure that project participants receive any high-quality training or instruction that they may need to obtain certification or licensure in the area(s) in which they are to teach as quickly as State (or local) procedures and requirements permit (and through alternative routes to teaching where they are available)?*
- *What assistance will the applicant provide to project participants to help them –*

Complete high-quality training or instruction in any requirements for licensure or certification of the State (and, where applicable, the LEA) in which they will teach, and pass any State- (or LEA-) required assessments?

Become adequately trained to use technology appropriately in providing instruction?

- *How will the applicant help those recruited into the program become hired as teachers in the LEA(s) on which the project focuses?*
- *What commitments have the(se) LEA(s) made to hire qualified project participants, and to provide the support they need to succeed as classroom teachers? What commitment have other partners (if any) made to help ensure that the project succeeds?*
- *What special support will these new teachers receive during at least their first two years in the classroom to help ensure that they become effective teachers and are able to help all children in their classrooms to succeed regardless of backgrounds and individual learning needs?*

- *What activities will any partners and/or collaborating agencies, organizations and institutions undertake to ensure project success?*
- *Would the project and those it recruits into teaching benefit from any special relationship with the school of arts and sciences and/or the teacher preparation program at one or more particular IHE?*

(Partnering and collaboration)

- *What kind of working relationship will the applicant have with the LEA(s) to be helped through the project? How does the application demonstrate that the LEA(s) is (are) truly committed to the project's success?*
- *If the applicant is a partnership, how does the application demonstrate that each partner is truly committed to the project's success?*
- *Regardless of whether the applicant is a single entity or a partnership, with what agencies, organizations and institutions, including IHEs, will the applicant collaborate on the project, and what is the role of each? How does the application demonstrate that each of these entities is truly committed to the project's success?*

4. Quality of project personnel

- *How do the qualifications and background of the project director and key staff of the applicant and any partners contribute to the likely success of the project to be conducted?*
- *What kinds of comparable activities have the project director and key staff previously conducted?*

5. Adequacy of resources

- *What, if any, financial or in-kind resources are the applicant and any partners or other entities contributing to the project, and how are these resources likely to contribute to the project's success?*
- *Why is the amount of funding that the applicant seeks reasonable in view of the number of new teachers the project will produce, the requirements they will need to meet to become licensed or certified in the fields in which they will teach, and the support the project will provide to them both before and after they begin their teaching careers?*
- *What evidence is there to demonstrate the long-term commitment of the applicant and any partners to the project's success?*

6. Quality of the management plan

- *What decision-making and governance structures will the applicant (including its partners, if any) use, and how will the applicant respond on an ongoing basis to the needs of the participants and the LEA(s) to be served?*
- *What kinds of activities will be conducted in each year of the project, and what are the proposed timelines for those activities?*
- *How will the project director and key staff periodically review the project to learn whether the project is succeeding in meeting its goals and objectives? How will they know whether changes in recruitment, preparation, placement, or follow-up support strategies, or in the project design itself, may be necessary, and what management process will they implement to make these changes?*
- *What controls will the grantee use to ensure that those recruited into the program use any stipends or financial incentives they receive only to help them become teachers in the LEA(s) to be served?*

- *What is the evidence that the project has the resources, personnel, time commitments, and other elements needed to succeed?*

7. Quality of the project evaluation

- *What methods does the applicant propose for evaluating the success of the project by means that are sound and appropriate to its goals, objectives, implementation strategies, and outcomes?*
- *How well aligned are the project's goals and objectives with the Transition to Teaching program's performance indicators (see Appendix B of this package)?*
- *How will the project use the data gathered from the evaluation to improve activities in future years?*

PROGRAM SELECTION CRITERIA

The Secretary will select for funding under the Transition to Teaching program those applications that are of highest overall quality. In determining which applications to recommend for award, peer reviewers will assign each application up to 100

points using the following Selection Criteria. The relative weight for each criterion is indicated in parentheses. Each criterion also identifies the factors that the reviewers will consider in determining how well an application meets the criterion.

These Selection Criteria are drawn from the general criteria for competitive grants contained in section 75.210 of the Education Department General Administrative Regulations (EDGAR). Reviewers will use their own professional judgment to assess the quality of each application against these criteria, and you are free to respond to these criteria in any way you choose. However, given the general nature of the EDGAR criteria, we urge you to consider them in the same way we believe the reviewers will – in the context of the purposes of the Transition to Teaching program, the required application content, and the other material contained in this application package.

(a) Need for project. (10 points)

In determining the need for the proposed project, the Secretary considers –

- (i) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project.**
- (ii) The extent to which the proposed project will prepare personnel for fields in which shortages have been demonstrated.**

(b) Quality of the project design. (20 points)

In determining the quality of the design of the proposed project, the Secretary considers –

- (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.**
- (ii) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.**
- (iii) The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements.**

(iv) The extent to which fellowship recipients or other project participants are to be selected on the basis of academic excellence.

(c) Quality of project services. (35 points)

In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers –

(i) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

(ii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.

(iii) The extent to which the training or professional development services to be provided by the proposed project are likely to alleviate the personnel shortages that have been identified or are the focus of the proposed project.

(iv) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

(d) Quality of project personnel. (10 points)

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers –

(i) The qualifications, including relevant training and experience, of the project director or principal investigator.

(ii) The qualifications, including relevant training and experience, of key project personnel.

(e) Adequacy of resources. (5 points)

In determining the adequacy of resources for the proposed project, the Secretary considers –

- (i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.
- (ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
- (iii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

(f) Quality of the management plan. (10 points)

In determining the quality of the management plan for the proposed project, the Secretary considers –

- (i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.

(iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

(g) Quality of the project evaluation. (10 points)

In determining the quality of the evaluation, the Secretary considers –

- (i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.
- (ii) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies.

(iii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

OTHER IMPORTANT APPLICATION INFORMATION

1. Must applications conform to any page limitations and formatting requirements?

Yes. Applicants must submit an application narrative of no more than the equivalent of 50 pages (See below). Please place the name of the applicant at the top or bottom of each page of the narrative. Each page should be numbered consecutively with the first page of the narrative listed as page one. The applicant's statements of support from the participating LEA(s) and other partners, and resumes of the proposed project director and other key personnel may be attached as an additional appendix to the application. (The budget and budget narrative are separately treated. See SF 524 in Appendix A of this application package.)

For the application narrative, the following standards apply:

- A page is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text, including titles, headings, quotations, references, and captions.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- For tables, charts or graphs, also use a font that is either 12 point or larger or no smaller than 10 pitch.

Your application should not include enclosures other than the statements of support from LEAs and other partners and collaborators (e.g., IHEs), resumes of the project director and key personnel, LEA statements of support, and budget information. Proposal readers will be instructed to base their ratings only on the information contained in or up to the equivalent of 50 pages of narrative and those items that may be in an appendix. Readers will not evaluate any of the pages of your application narrative that exceed the 50-page limit if you apply these standards, or exceed the equivalent of 50 pages if you apply other standards.

The application must be either postmarked by June 15, 2001 or hand-delivered on this date to the Department's Application Control Center by 4:30 p.m. Eastern Standard Time.

2. In preparing their program applications, what general requirements must applicants consider regarding a description of annual project activities and presentation of a multiyear budget?

As applicants respond to the Selection Criteria, they should note that section 75.112 of EDGAR requires them to include in their applications a proposed project period for the project, and “a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project.” While the Department will make grant awards under this program for a single project and budget period of up to three years, consistent with section 75.112 of EDGAR, applicants will need to describe how and when during the proposed project period they will implement project activities. This “time-line” information should be included in the description of the applicant’s management plan for the project.

Similarly, section 75.117(b) requires submission of a budget narrative and form that includes budget information for each budget period of the proposed project. (See Appendix A of this application package.)

3. Is there any maximum that a grantee may charge for administrative costs?

The law imposes no fixed limitation on the amount of administrative costs that a grantee may charge to the program. However, all costs must conform to applicable cost principles issued by the U.S. Office of Management and Budget (OMB), including the principle that all costs must be “necessary and reasonable” for purposes of carrying out grant activities. When assessing the quality of applications, the Department’s reviewers may examine whether the amount of administrative costs that are proposed seem reasonable in view of the size and scope of the project and the comprehensive set of services to be provided individuals who will become new teachers.

4. *Is there any maximum indirect cost rate that a grantee (or other recipient) may use to determine the amount of indirect costs that may be charged to program funds?*

Yes. For the purpose of this program, the maximum indirect cost rate is eight percent or the grantee's (or recipient's) approved negotiated rate, whichever is less. (Note: Indirect costs may not be charged to any stipends or financial incentives provided to program participants. See section 75.564(c) of EDGAR.)

5. *The Department will provide each grant recipient with a single award of funds to implement the activities described in its approved multiyear application. What special considerations regarding reporting affect these awards?*

Unlike most Department discretionary grant programs, in which grantees receive continuation awards for subsequent project periods, under the Transition to Teaching program grantees will receive at the outset a single award of funds for all three years of the grant. This award will reflect the Department's determination of the level of federal funding that is appropriate to conduct the activities described in the program application for all years of the project.

While grantees will receive multiyear awards, they are still responsible for implementing their projects according to the scope, objectives, and timelines for activities described in their program applications. Similarly, they are expected to obligate funds provided through their grant award on the basis of the schedule of activities and multiyear budget contained in the approved application. Like other grantees, they also must submit a performance report as the Department may require prior to the end of each project year. See section 75.590 of EDGAR. This report will contain performance and financial expenditure information that enables the Secretary to determine

whether the grantee is making substantial progress toward meeting the year-to-year objectives contained in its approved application.

Moreover, should the number of individuals whom a grantee is able to recruit and have hired as teachers be less than the number it had estimated in its approved application, the Department may adjust the remaining portion of the grant award accordingly. Before doing so, however, it will provide the grantee notice and an opportunity to show cause why an adjustment of this kind should not be made.

(At the end of the project, section 75.590 of EDGAR requires each grantee to submit a program evaluation. The Department intends to use information contained in the annual performance reports and final evaluation and other information gained through program monitoring and evaluation, to (1) determine which approaches have been most successful in addressing the teaching shortages of participating LEAs, and (2) widely disseminate information about these approaches to the public at large.)

Those receiving Transition to Teaching project grants will receive more information on the desired content and submission dates of these performance reports.

6. In describing its recruitment strategy, how should an applicant address any out-of-area recruitment costs that it believes are necessary, and any moving expenses that it may need to pay to a recruit to relocate to another location in which she/he will teach?

The applicant should explain in the application the circumstances under which any out-of-area travel would be reasonable and necessary in order to recruit individuals whom the participating LEA(s) would hire to fill their teacher-shortage needs, along with information on the extent to which the participating LEA(s) would assume the costs of this travel. Rather than include this information in the body of the application, the applicant may include in an Appendix to the application a proposed policy statement on staff (or LEA) travel

to be paid with program funds should the applicant receive a grant award.

Relocation costs of those whom LEAs would hire are not considered costs of recruitment. To the extent that out-of-area recruitment itself is reasonable and necessary, relocation costs may be paid as a stipend or financial incentive if, as with any cost the program would assume, they themselves are reasonable and necessary. See, generally, the applicable set of Cost Principles in OMB Circular A-87 (for State and local governments) and A-122 (for no-profit organizations).

7. What regulations apply to the Transition to Teaching program?

The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 82, 85, 86, 97, 98, and 99; the general provisions for programs in the Elementary and Secondary Education Act contained in 34 CFR Part 299; and the requirements for this program published in the *Federal Register* and contained in Appendix D of this application package. (Note: This discussion of application narrative incorporates the requirements of that *Federal Register* notice.)

7. How many copies of my application should I submit?

The Department requires submission of an original and three copies of the application.

APPENDIX A

REQUIRED FORMS AND OTHER APPLICATION CONTENT

IDENTIFICATION OF APPLICANT, PROJECT CATEGORY,
AND PARTICIPATING LOCAL EDUCATIONAL AGENCIES

1. Name of applicant (and partner (s) if applicant is a partnership).

2. Indicate the category under which your application should be reviewed.

____ National/Regional Project. This includes projects that will serve LEAs in
more than one State.

____ Statewide Project. This includes projects where placement of teachers will
be statewide or in LEAs scattered across a particular State.

____ Local Project. This includes projects where placement of teachers will be in
a single LEA or in a group of LEAs located in close proximity to one another
within a State.

3. Identify participating LEAs (i.e., those LEAs that endorse the project and intend to hire the qualified individuals that are recruited into teaching).

GUIDANCE ON SECTION 427 OF THE
GENERAL EDUCATION PROVISIONS ACT (GEPA)

OMB Control No. 1801-0004 (Exp. 8/31/2001)

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other

barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the
Requirement
of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant

programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

Application for Education Education



Note: If available, please provide application package on diskette and specify the file format

U.S. Department of

Form Approved
OMB No. 1875-0106
Exp. 06/30/2001

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number: |__|__|__|__|__|__|__|__|__|__|
Federal debt? ☐ Yes ☐ No

6. Is the applicant delinquent on any

(If "Yes," attach an explanation.)

3. Applicant's T-I-N |__|__| - |__|__|__|__|__|__|__|__|

Title: Transition to Teaching Program

4. Catalog of Federal Domestic Assistance #: 84.350A



5. Project Director: _____
/____/

7. Type of Applicant (Enter appropriate letter in the box.)

Address: _____

City State Zip code + 4

Tel. #: () - Fax #: () -

E-Mail Address: _____

A - State H - Independent School District
B - County I - Public College or University
C - Municipal J - Private, Non-Profit College or
University
D - Township K - Indian Tribe
E - Interstate L - Individual
F - Intermunicipal M - Private, Profit-Making
Organization

Application Information

9. Type of Submission:

planned at

-PreApplication -Application

☐ No

☐ Construction ☐ Construction

Compliance #:

☐ Non-Construction ☐ Non-Construction

10. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372
process for review): ____/____/____

☐ No (If "No," check appropriate box below.)

☐ Program is not covered by E.O. 12372.

☐ Program has not been selected by State for review

11. Proposed Project Dates: ____/____/____ ____/____/____
Start Date: End Date:

8. Novice Applicant ☐ Yes ☐ No

12. Are any research activities involving human subjects

any time during the proposed project period? ☐ Yes

a. If "Yes," Exemption(s) #: b. Assurance of

OR

c. IRB approval date: ____ Full IRB or
____ Expedited Review

13. Descriptive Title of Applicant's Project:

Estimated Funding

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this

preapplication/application are true

14a. Federal \$ _____ . 00

and correct. The document has been duly authorized by the governing body of

the applicant

b. Applicant \$ _____. 00 and the applicant will comply with the attached assurances if the assistance is awarded.

c. State \$ _____. 00 a. Typed Name of Authorized Representative

d. Local \$ _____. 00 _____

e. Other \$ _____. 00 b. Title:

f. Program Income \$ _____. 00 c. Tel. #: () - Fax #: ()
- _____

d. E-Mail Address:

g. TOTAL \$ _____. 00 e. Signature of Authorized Representative

ED 424 (rev 11/12/99)

Date: __/__/____

Instructions for ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the tax identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
7. **Type of Applicant.** Enter the appropriate letter in the box provided.
8. **Novice Applicant.** Check "Yes" only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check "No."
9. **Type of Submission.** Self-explanatory.
10. **Executive Order 12372.** Check "Yes" if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Otherwise, check "No."
11. **Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).
12. **Human Subjects.** Check "Yes" or "No". If research activities involving human subjects are not planned at any time during the proposed

project period, check "No." The remaining parts of item 12 are then not applicable.

If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "Yes." If all the research activities are designated to be exempt under the regulations, enter, in item 12a, the exemption number(s) corresponding to one or more of the six exemption categories listed in "Protection of Human Subjects in Research" attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 12a, are appropriate. Provide this narrative information in an "Item 12/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 12.

If some or all of the planned research activities involving human subjects are covered (nonexempt), skip item 12a and continue with the remaining parts of item 12, as noted below. In addition, follow the instructions in "Protection of Human Subjects in Research" attached to this form to prepare the six-point narrative about the nonexempt activities. Provide this six-point narrative in an "Item 12/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.

If the applicant organization has an approved Multiple Project Assurance of Compliance on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 12b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 12c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110. If the IRB review is delayed beyond the submission of the application, enter "Pending" in item 12c. If your application is recommended/selected for funding, a follow-up certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. If the applicant organization does not have on file with GPOS or

OPRR an approved Assurance of Compliance that covers the proposed research activity, enter "None" in item 12b and skip 12c. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725.

13. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.
15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office.

Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write

Protection of Human Subjects in Research

(Attachment to ED 424)

I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.

If you marked item 12 on the application “Yes” and designated exemptions in 12a , (all research activities are exempt), provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under II.B. “Exemptions,” below. The Narrative must be succinct. Provide this information in an “Item 12/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.

If you marked “Yes” to item 12 on the face page, and designated no exemptions from the regulations (some or all of the research activities are nonexempt), address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an “Item 12/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page.

(1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent

will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

II. Information on Research Activities Involving Human Subjects

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Is it a research activity?

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for

other purposes. For example, some demonstration and service programs may include research activities.

—Is it a human subject?

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. *If the subjects are*

children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer,

U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://ocfo.ed.gov/humansub.html>.



U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						

12. Total Costs (lines 9-11)						
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ED Form No. 524

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

ED Form No. 524

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

INSTRUCTIONS FOR ED FORM 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
 2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
 3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

DUNS Number Instructions

D-U-N-S-No. Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

[Http://www.dnb.com/dbis/aboutdb/intlduns.htm](http://www.dnb.com/dbis/aboutdb/intlduns.htm)

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646)

which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

97) Back

Standard Form 424B (Rev. 7-

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs

(a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988,
and implemented at 34 CFR Part 85, Subpart F, for
grantees, as
defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not
engage in the unlawful manufacture, distribution,
dispensing, possession, or use of a controlled substance
in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from
a violation occurring during the conduct of any grant
activity, I will report the conviction, in writing, within 10
calendar days of the conviction, to: Director, Grants
Policy and Oversight Staff, Department of Education,
400 Maryland Avenue, S.W. (Room 3652, GSA Regional
Office Building No. 3), Washington, DC 20202-4248.
Notice shall include the identification number(s) of each
affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above
certifications.

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND / OR PROJECT
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT NAME	PR/AWARD NUMBER AND/OR PROJECT
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: a. contract ____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application ____ b. initial award c. post-award	3. Report Type: a. initial filing ____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: ____ Prime ____ Subawardee Tier____, if Known: Congressional District, if known:	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services (including address if different from No. 10a) <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

APPENDIX B

PERFORMANCE INDICATORS

NOTICE TO APPLICANTS:
THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress will contribute to improvements accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 1998-2002. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1: Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.

Goal 2: Build a solid foundation for learning for all children.

Goal 3: Ensure access to postsecondary education and lifelong learning.

Goal 4: Make the Department of Education a high performance organization by focusing on results, service quality, and customer satisfaction.

The performance indicators for the Transition to Teaching Program are part of the Department's plan for meeting goal 2. Specifically, the Transition to Teaching Program supports objective 2B under goal 2 for ensuring there are talented and dedicated teachers in every classroom.

What are the Performance Indicators for the Transition to Teaching Program?

The Department's specific performance objectives and indicators for the Transition to Teaching Program are described in the table that follows this notice.

EISENHOWER NATIONAL ACTIVITIES: TRANSITION TO TEACHING

Goal: To recruit, prepare, place, and support talented career-changing professionals as teachers, particularly in high-poverty school districts and in high-need subject areas	Funding (\$ in m)	
	Fiscal Year	Appropriati
	Appropriation	
Legislation: Title II, part A, of the Elementary and Secondary Education Act (ESEA) of 1965, as authorized through the Department of Education's Consolidated Appropriations Act 2001 (P.L. 106-554.).	1985	\$
	1990	\$
	1995	\$

Purpose of Program

The Transition to Teaching program provides competitive grants to support the recruitment, training and placement of talented individuals from other fields into teaching positions and support them during their first years in the classroom.

Program Description

Transition to Teaching encourages two largely untapped groups of individuals to become licensed and successful teachers: 1) mid-career professionals, such as engineers, scientists, corporate professionals and returning Peace Corps volunteers, with academic backgrounds and work experience in high-need areas; and 2) recent college graduates with outstanding academic records but without a degree in education.

Under the program, grantees are required to conduct several activities:

- Recruit individuals from one or both target groups to become teachers in academic fields in which specific local educational agencies face critical shortages (for example, in mathematics, science, foreign languages, bilingual education, reading and special education);
- Provide these individuals with intensive short-term training in areas such as pedagogy and classroom management that will enable them to begin teaching as soon as possible in the subjects they are qualified to teach;
- Work with specific LEAs (where the grantee itself is not an LEA) to ensure that these individuals are hired as teachers in schools that need them;
- Help these individuals to complete high-quality training in pedagogy, classroom management, and other requirements of licensure or certification, and pass any assessment the state requires for a teaching license;
- Ensure that these individuals receive special, high-quality support during at least their first 2 years of teaching, through activities such as mentoring, co-teaching, observation and consultation with experienced teachers. Grantees will also use funds to pay expenses related becoming a licensed teacher, and provide these individuals with a financial stipend or incentive of up to \$5000 per year for 2 years.

Eligible grantees for the program include local educational agencies (LEAs), state educational agencies (SEAs), educational service agencies, nonprofit agencies, and other organizations. Grant projects are funded by the Department of Education in three areas: 1) Projects where placement of new teachers would be in LEAs in more than one state; 2) Projects where placement of new teachers would be statewide or in LEAs scattered across a particular state; and 3) Projects where placement of new teachers

would be in a single LEA or in a group of LEAs within a state in close proximity to one another.

Program Performance

OBJECTIVE 1: GRANTEES WILL RECRUIT MID-CAREER PROFESSIONALS OR RECENT COLLEGE GRADUATES WHO HAVE THE SKILLS NECESSARY TO OBTAIN TEACHER CERTIFICATION AND TO BECOME EFFECTIVE TEACHERS.

Indicator 1.1 At least 80 percent of participants who plan to teach at the secondary level will have professional experience in the subject matter in which they are teaching or intend to teach.

Targets and Performance Data			Assessment of Progress	S F N D V v L Im r
Year	Actual Performance	Performance Targets	Status: New program in FY01.	
FY 1999:	Not applicable	Not applicable	Explanation: New program. This program was authorized for one year as part of the Department's FY01 appropriations bill.	
FY 2000:	Not applicable	Not applicable		
FY 2001:	Program created in FY01	Not applicable		
FY 2002:		Continuous improvement		
FY 2003:		Continuous improvement		
FY 2004:		80 percent		

Indicator 1.2 At least 75 percent of participants will be certified to teach in high need subject field participating in the program, particularly mathematics, science, foreign language, bilingual education.

Targets and Performance Data			Assessment of Progress	S F N D V v L Im r
Year	Actual Performance	Performance Targets	Status: New program in FY01.	
FY 1999:	Not applicable	Not applicable	Explanation: New program. This program was authorized for one year as part of the Department's FY01 appropriations bill.	
FY 2000:	Not applicable	Not applicable		
FY 2001:	Program created in FY01	Not applicable		
FY2002:		Continuous improvement		
FY 2003:		Continuous improvement		
FY 2004:		75 percent		

OBJECTIVE 2: GRANTEES WILL SUCCEED IN PLACING AND RETAINING QUALIFIED PARTICIPANTS IN K-12 CLASSROOMS.

Indicator 2.1 Grantees will have placed 95 percent of participants in teaching positions in the subject certified or seeking certification.

Targets and Performance Data			Assessment of Progress	S F N D V v L Im r
Year	Actual Performance	Performance Targets	Status: New program in FY01.	
FY 1999:	Not applicable	Not applicable	Explanation: New program. This program was authorized for one year as part of the Department's FY01 appropriations bill.	
FY 2000:	Not applicable	Not applicable		

FY2001:	Program created in FY01	Not applicable	
FY2002:		Continuous improvement	
FY2003:		Continuous improvement	
FY 2004:		95 percent	

Indicator 2.2 At least 90 percent of grantees will report providing to participants support services and observation, that lasted for two years or more.				
Targets and Performance Data			Assessment of Progress	
Year	Actual Performance	Performance Targets	Status: New program in FY01. Explanation: New program. This program was authorized for one year as part of the Department's FY01 appropriations bill.	S
FY 1999:	Not applicable	Not applicable		F
FY 2000:	Not applicable	Not applicable		N
FY 2001:	Program created in FY01	Not applicable		D
FY2002:		Continuous improvement		S
FY2003:		Continuous improvement		F
FY 2004:		90 percent		N
				D
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APPENDIX C

**TRANSMITTAL INSTRUCTIONS
AND CHECKLIST**

APPLICATION TRANSMITTAL INSTRUCTIONS

Remember: All applications for a new award must be mailed or hand delivered by June 15, 2001. (Please include an original and three copies of your application.)

1. Applications That Are Mailed

An application sent by mail must be addressed on or before June 15, 2001 as follows:

*U.S. Department of Education, Application Control Center,
Attn: Transition to Teaching Program, CFDA No. 84.350,
400 Maryland Avenue, SW, Washington, D.C. 20202-
4725.*

An application must show proof of mailing consisting of one of the following:

1. A legibly dated U.S. Postal Service postmark.
2. A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
3. A dated shipping label, invoice, or receipt from a commercial carrier.
4. Any other proof of mailing acceptable to the Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

1. A private metered postmark, or
2. A mail receipt that is not dated by the U.S. Postal Service.

Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office. Applicants are encouraged to use registered or at least first-class mail.

Each late applicant will be notified that its application will not be considered.

2. Applications That Are Delivered by Hand / Courier Service

An application that is hand delivered must be taken to--

U.S. Department of Education, Application Control Center, Attn:
Transition to Teaching Program, CFDA No. 84.350, Room 3633,
7th and D Streets SW, Washington, D.C. 20202-4725

Individuals delivering applications should use the D Street entrance. Proper identification is necessary to enter the building. The Coordination and Control Branch will accept hand-deliveries between 8:00am and 4:30pm (Washington, D.C. time) daily, except Saturdays, Sundays, and Federal holidays. In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

APPLICATION CHECKLIST

Does your application include the following – and in this order?

- _____ Application for Federal Education Assistance (ED Form 424) (see Appendix A)
- _____ A table of contents
- _____ Identification of Applicant, Project Category, and Participating Local Educational Agencies form (see Appendix A)
- _____ Program narrative, which includes responses to selection criteria and to the requirements regarding equitable participation in section 427 of the General Education Provisions Act (GEPA) (see Appendix A)
- _____ Itemized Budget Form (ED Form 524) and budget narrative – see instructions to ED Form 524 (see Appendix A)
- _____ Assurances, Certifications, and Disclosure of Lobbying Activity (see Appendix A)
 - ☐ Assurances - Non-Construction Programs
 - ☐ Certifications Regarding Lobbying; Debarment; Suspension and Other Responsibility Matters; and Drug-Free Workplace requirements.
 - ☐ Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
 - ☐ Disclosure of Lobbying Activity

Did you?

- _____ Provide one (1) original plus three (3) copies of the application
- _____ Include all required forms with original signatures and dates
- _____ Mail application to: _____ OR Hand-deliver application to: _____

U.S. Department of Education
Application Control Center
Attn: Transition to Teaching Program

CFDA No. 84.350
400 Maryland Avenue, SW
Washington, D.C. 20202-4725

U.S. Department of Education
Application Control Center
Attn: Transition to
Teaching Program

CFDA No. 84.350
7th & D Streets, SW, Room
3633
Washington, DC 20202-4725

APPENDIX D

**OTHER IMPORTANT
INFORMATION AND NOTICES**

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372—CFDA No. 84-350, U.S. Department of Education, room 7W100, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

This publication by the U.S. Department of Education (ED or the Department) is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. However, the only official version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site:

<http://www.whitehouse.gov/omb/grants/spoc.html>.

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2000, the Federal Government will outlay \$283.5 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is a copy of the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided from the official version of this document from the OMB web page at the following address:

<http://www.whitehouse.gov/omb/grants/spoc.html>

ARIZONA	ARKANSAS
<p>Joni Saad Arizona State Clearinghouse 3800 N. Central Avenue Fourteenth Floor Phoenix, Arizona 85012 Telephone: (602) 280-1315 FAX: (602) 280-8144 Jonis@ep.state.az.us</p>	<p>Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 Tlcpeland@dfa.state.ar.us</p>
CALIFORNIA	DELAWARE
<p>Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 State.clearinghouse@opr.ca.gov</p>	<p>Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway, 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 Chopkins@state.de.us</p>
DISTRICT OF COLUMBIA	FLORIDA
<p>Ron Seldon Office of Grants Management and Development 717 14th Street, NW, Suite 1200 Washington, DC 20005 Telephone: (202) 727-1705 FAX: (202) 727-1617 ogmd-ogmd@dcgov.org</p>	<p>Cherie L. Trainor Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 FAX: (850) 414-0479 Telephone: (850) 414-5495 (direct) Cherie.trainor@dca.state.fl.us</p>
GEORGIA	ILLINOIS

<p>Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 gach@mail.opb.state.ga.us</p>	<p>Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 FAX: (312) 814-1800 vbova@commerce.state.il.us</p>
<p>INDIANA</p> <p>Frances Williams State Budget Agency 212 State House Indianapolis, Indiana 46204-2796 Telephone: (317) 232-2972 FAX: (317) 233-3323 fwilliams@sbs.state.in.us</p>	<p>IOWA</p> <p>Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 FAX: (515) 242-4809 Steve.mccann@ided.state.ia.us</p>
<p>KENTUCKY</p> <p>Kevin J. Goldsmith, Director Sandra Brewer, Executive Secretary Intergovernmental Affairs Office of the Governor 700 Capitol Avenue Frankfort, Kentucky 40601 Telephone: (502) 564-2611 FAX: (502) 564-0437 kgoldsmith@mail.state.ky.us Sbrewer@mail.state.ky.us</p>	<p>MAINE</p> <p>Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 Telephone: (207) 287-1461 (direct) FAX: (207) 287-6489 Joyce.benson@state.me.us</p>
<p>MARYLAND</p> <p>Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 West Preston Street - Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 linda@mail.op.state.md.us</p>	<p>MICHIGAN</p> <p>Richard Pfaff Southeast Michigan Council of Governments 660 Plaza Drive - Suite 1900 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcog.org</p>
<p>MISSISSIPPI</p> <p>Catherine Mallette Clearinghouse Officer Department of Finance and Administration 550 High Street 303 Walters Sillers Building Jackson, Mississippi 39201-3087 Telephone: (601) 359-6762 FAX: (601) 359-6758</p>	<p>MISSOURI</p> <p>Lois Pohl Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Jefferson Building, Room 915 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 pohl@mail.oa.state.mo.us</p>

<p>NEVADA</p> <p>Heather Elliot Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 FAX: (775) 684-0260 Helliot@govmail.state.nv.us</p>	<p>NEW HAMPSHIRE</p> <p>Jeffrey H. Taylor Director, New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2½ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 Jtaylor@osp.state.nh.us</p>
<p>NEW MEXICO</p> <p>Ken Hughes Local Government Division Bataan Memorial Building – Room 201 Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 khughes@dfa.state.nm.us</p>	<p>NORTH CAROLINA</p> <p>Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 jeanette.furney@ncmail.net</p>
<p>NORTH DAKOTA</p> <p>Jim Boyd Division of Community Services 600 East Boulevard Ave., Dept. 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 jboyd@state.nd.us</p>	<p>RHODE ISLAND</p> <p>Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2681 knelson@doa.state.ri.us</p>
<p>SOUTH CAROLINA</p> <p>Omeagia Burgess Budget and Control Board Office of State Budget 1122 Ladies Street – 12th Floor Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 aburgess@budget.state.sc.us</p>	<p>TEXAS</p> <p>Tom Adams Governors Office Director, Intergovernmental Coordination P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 463-1771 FAX: (512) 936-2681 tadams@governor.state.tx.us</p>
<p>UTAH</p> <p>Carolyn B. Wright Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol – Room 114 Salt Lake City, Utah 84114 Telephone: (801) 538-1535 FAX: (801) 538-1547 cwright@gov.state.ut.us</p>	<p>WEST VIRGINIA</p> <p>Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 fcutlip@wvdo.org</p>
<p>WISCONSIN</p> <p>Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration</p>	<p>WYOMING</p> <p>Sandy Ross Department of Administration and Information</p>

101 East Wilson Street – 6 th Floor P.O. Box 7868 Madison, WI 53707 Telephone: (608) 266-0267 FAX: (608) 267-6931 jeffrey.smith@doa.state.wi.us	2001 Capitol Avenue, Room 214 Cheyenne, Wyoming 82002 Telephone: (307) 777-5492 FAX: (307) 777-3696 sross1@missc.state.wy.us
GUAM Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: (011) (671) 472-2285 FAX: (011) (671) 475-2825 jer@ns.gov.gu	PUERTO RICO Norma Burgos / José E. Caro Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 727-4444 (PRPB) Telephone: (787) 723-6190 (FPRO) FAX: (787) 724-3270
NORTH MARIANA ISLANDS Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (011) (670) 664-2289 FAX: (011) (670) 664-2272 omb.jseman@saipan.com	VIRGIN ISLANDS Ira Mills Director, Office of Management & Budget #41 Norregade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Irmills@usvi.org

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

**IMPORTANT NOTICE
TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION
CONTRACT AND GRANT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration whatever.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission

of offers should be addressed to the Contracts Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

**TRANSITION TO TEACHING PROGRAM
NOTICE INVITING APPLICATIONS FOR
NEW AWARDS**